

## **Principles of Risk Management**

### **Module I**

#### **Instructor's Guide**

<b>Length of Session:</b>	45 minutes to 1 hour
<b>Intended Audience:</b>	Regional center staff and vendored service providers
<b>Class Size:</b>	Limited only by room capacity
<b>Training Materials:</b>	Handouts: Principles of Risk Management Elements of Effective Risk Management  Power Point presentation (or transparencies): <i>Principles of Risk Management</i>  LCD projector or Overhead projector  Flipchart and markers (as desired)
<b>Methods:</b>	Lecture; instructor guided discussion; interactive

#### **Course Outline**

- I. Welcome and Introductions
- II. Principles of Risk Management
- III. Elements of Effective Risk Management

# **Principles of Risk Management**

## **Module I**

### **Learning Objectives**

At the conclusion of this module, participants will:

1. Understand the broad concept of risk.
2. Be familiar with the principles of risk management.
3. Be able to describe elements of effective risk management.

## Principles of Risk Management

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p><b>Risk Management</b> is a term given to a set of practices that lead to minimizing possible harm to individuals. In this instance, individuals are persons with developmental disabilities who receive services through the regional centers. We will first examine risk management principles and discuss why risk management is important.</p> <p>In the second segment of this module, we will look at the specific elements that should be present in an effective risk management system.</p>	<p><u>Ask the group what risk means to them. What are some common risks of everyday life for all of us?</u></p> <p><u>Use some common examples such as driving in traffic, family history of heart disease, cancer, or high-risk behaviors such as riding a bicycle without a helmet or walking alone in unfamiliar neighborhoods after dark.</u></p>
<p>While it may not be possible to totally protect individuals, a risk management system seeks to identify factors that may increase those risks and actively promote practices that will keep risk as low as possible.</p> <p>The purpose of a risk management system is to promote a positive quality of life for all persons with developmental disabilities by ensuring their basic safety and well-being.</p>	<p><u>Distribute the Handout: '<b>Risk Management Principles</b>' and review each principle.</u></p>

<b>Script for Instructor</b>	<b>Suggestions for Instructor</b>
<p><b>Slide 1: Prevention of Serious Incidents is The Highest Priority</b></p> <p>If it is possible, we want to anticipate what risks may exist and prevent them from happening.</p> <p>Can you think of an example? These examples illustrate interventions for risk factors that could be reasonably anticipated or identified and prevented.</p> <p>This is the best possible risk management.</p>	<p><u><a href="#">Start the Power Point or Overhead Projector Presentation.</a></u></p> <p><u><a href="#">Survey the group for examples. The following is one example that you may use to begin the discussion. If you experience a power outage, ensure that the food in the refrigerator is safe before anyone grabs a snack and risks food-borne illness.</a></u></p>
<p><b>Slide 2: Safe and Accessible Environments are Everyone's Responsibility</b></p> <p>We all are responsible for looking out for risks and for doing what we can to make environments safer.</p> <p>If you visit an individual at their group home and notice a frayed electrical cord, it is your responsibility to bring that to the attention of the home staff and <i>ensure</i> that it is removed before there is a problem.</p>	

<b><i>Script for Instructor</i></b>	<b><i>Suggestions for Instructor</i></b>
<p><b><i>Slide 2 (continued)</i></b></p> <p>Let's talk about some other examples that you have seen.</p>	<p><u><i>It is very effective to have participants use examples from their own environments. Provide guidance but let them think a little and praise their outstanding examples!</i></u></p>
<p><b><i>Slide 3: Continuous Communication, Accurate Reporting, Consistent Analysis of Information, and Development of Sound Person-Centered Strategies are Essential to Prevent Serious Incidents</i></b></p> <p>We need all four elements: communication, reporting, analysis, and strategy development to address individual situations.</p> <p>Continuous communication and sharing of information among all involved in supporting an individual is critical to identifying risk and ensuring safety.</p> <p>Individuals and their families have critical information about potential risks to share with the planning team.</p>	

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p><b>Slide 3 (continued)</b></p> <p>When an incident does occur, accurate and timely reporting is essential. Reports must include who, what, when and where. Accurate analysis of risk based upon complete information enables us to develop sound person-centered strategies to prevent future incidents.</p>	
<p><b>Slide 4: Staff are Competent to Respond to, Report and Document Incidents in a Timely and Accurate Manner</b></p> <p>All regional center and vendor staff witnessing or learning of an incident must report it in a timely and accurate manner. Training to understand what to do when an incident occurs and how and where to report it is key.</p> <p>Let's review the timelines for reporting. When should vendors report special incidents to regional centers? When should regional centers report special incidents to DDS?</p>	<p><u>Remind participants of the Title 17 requirements: <b>Vendors</b> are to report special incidents to the regional center 'immediately, but not more than 24 hours after learning of the occurrence of the special incident'. <b>Regional Centers</b> are to report special incidents to DDS 'within two working days of learning of the occurrence'.</u></p> <p><u>Depending upon the roles of those in attendance, a brief review of applicable regulations and statutes can be included here. For example, vendors representing residential services licensed by Community Care Licensing, participants who work with children or who work with persons who are elderly, etc.</u></p>

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p><b>Slide 5: Individuals have the Right to a Quality of Life Free of Abuse, Neglect, and Exploitation</b></p> <p>The focus of this training is on the requirements for risk management, including those regarding regional center and vendor special incident reporting. In addition, other reporting requirements may be applicable depending upon the characteristics of the individuals served or the types of setting in which services are provided. Under Child and Adult Protective Services laws, you are considered a mandated reporter. If you genuinely believe that abuse, neglect or exploitation is occurring or has occurred, you are legally obligated to report it.</p>	
<p><b>Slide 6: Risk Management Systems Should Emphasize Staff Involvement as Integral to Providing Safe Environments</b></p> <p>Risk management is not just the job of management. The staff involved in any situation need to also be involved when it comes time to discuss future preventative actions or to help figure out how an incident could have been avoided.</p> <p>When service providers review incidents, it is invaluable to have input from direct support staff.</p>	<p><u><a href="#">Survey the group on specific types of information that direct support staff may have that others on the individual's team may not. Examples may include such things as sleep and wakefulness cycles, personal grooming habits, particular fears, or behavioral changes during times of stress.</a></u></p>

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p><b>Slide 7: Quality of Life Starts with Those who Work Most Closely with Persons Receiving Supports and Services</b></p> <p>The people working most closely with consumers have a unique responsibility in supporting quality of life. They see things first, and often sense changes before there is a major problem.</p> <p>Direct support staff should be alert to potential risks and work to prevent incidents from occurring.</p> <p>With the goal of harm prevention, the experts are those closest to the individual.</p>	
<p><b>Slides 8 &amp; 9: Effective Risk Management</b></p> <p>The protection of rights of individuals and their protection from harm are the highest priorities. The implementation of effective risk management practices should lead to a safer and improved quality of life for consumers.</p>	



<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p><b>Slides 8 &amp; 9 (continued)</b></p> <p>An effective <b>system</b> of Risk Management is based upon the <b>principles</b> of risk management we have just reviewed. Additionally, this system would incorporate other elements as listed on the handout being distributed.</p> <p>In summary, the implementation of sound risk management practices is intended as conscious and deliberate efforts to provide a safer and less risky environment for consumers served by regional centers and service providers.</p>	<p><u><a href="#">Distribute the handout: Elements of Effective Risk Management. Review each of the points with the group prior to the summary statement at the end of the script.</a></u></p> <p><u><a href="#">Thank those in attendance for their participation and wish them well in their efforts to improve the quality of life for individuals receiving services and supports.</a></u></p>



# Principles

of

I-4

# Risk Management



# Prevention of Serious Incidents

is

# The Highest Priority



# Safe and Accessible Environments

are

*Everyone's Responsibility*



# Prevention of Serious Incidents

- Continuous Communication
- Accurate Reporting
- Consistent Analysis of Information
- Development of Sound Person-Centered Strategies



# Staff are Competent to:

- Respond to . . .

- Report . . .

- Document . . .

Incidents in a Timely Manner



Individuals have the Right

to

A Quality of Life

Free of Abuse, Neglect, and  
Exploitation



# Risk Management Systems

Should Emphasize Staff Involvement

as **Integral** to

Providing Safe Environments





# Quality of Life Starts with:

Those who Work Most Closely

with

Persons Receiving Services and Supports



# Effective Risk Management

- Training of all involved in supporting individuals with developmental disabilities in the risk management process
- Individual risk assessment, evaluation, and planning
- A well-defined process for reporting incidents that is timely, complete, and accurate



# Effective Risk Management

- **Immediate follow up and intervention to ensure health and safety and to mitigate future risk**
- **Regular review and analysis of incidents by a risk management, assessment and planning committee**
- **Trending of data to detect patterns and facilitate development of risk mitigation strategies**
- **Proactive measures to prevent or minimize the likelihood of further incidents**

## **RISK MANAGEMENT PRINCIPLES**

**The following fundamental principles guide Risk Management Systems:**

- ◆ Prevention of serious incidents is the highest priority.
- ◆ Safe and accessible environments are everyone's responsibility.
- ◆ Continuous communication, accurate reporting, consistent analysis of information, and development of sound, person-centered strategies are essential to prevent serious incidents.
- ◆ Staff are competent to respond to, report and document incidents in a timely and accurate manner.
- ◆ Individuals have the right to a quality of life that is free of abuse, neglect, and exploitation.
- ◆ Risk management systems should emphasize staff involvement as integral to providing safe environments.
- ◆ Quality of life starts with those who work most closely with persons receiving services and supports.

## **Elements of Effective Risk Management**

- ❖ Training of all involved in supporting individuals with developmental disabilities in the risk management process
- ❖ Individual risk assessment, evaluation, and planning
- ❖ A well-defined process for reporting incidents that is timely, complete, and accurate
- ❖ Immediate follow up and intervention to ensure health and safety and to mitigate future risk
- ❖ Regular review and analysis of incidents by a risk management, assessment and planning committee
- ❖ Trending of data to detect patterns and facilitate development of risk mitigation strategies
- ❖ Proactive measures to prevent or minimize the likelihood of further incidents